

FILE COPY



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov



Bib Data Sheet

SERIAL NUMBER 09/495,393	FILING DATE 01/31/2000 RULE 47	CLASS 705	GROUP ART UNIT 2768	ATTORNEY DOCKET NO. P/2167-158
-----------------------------	--------------------------------------	--------------	------------------------	-----------------------------------

APPLICANTS

Albert Kwang-Hwa Sun, Brooklyn, NY ;
 Tak Ming Chan, Kwun Tong, HONG KONG ;
 Jacqueline Layer, Dorset, UNITED KINGDOM ;
 Nicole Gabrielle Rodriguez Toulis, New York, NY ;
 Stephen Pan Cheung, Tsuen Wan, HONG KONG ;
 Patrick Shu Pui Ko, Happy Valley, HONG KONG ;
 Sammy Shun Yuen Fung, Kowloon, HONG KONG ;
 Thomas William Halpin, Irvington, NY ;
 Yoke Bee Yap, New York, NY ;
 Zeno Fook Chuen Chow, Yuen Long, N.T., HONG KONG ;
 Kelvin Yatsun Leung, Pelham, NY ;
 Kwok Keung Yeung, Shatin, HONG KONG ;
 Man Pui Tsim, Ko Fung Court, HONG KONG ;

*Corrected
Filing receipt
mailed
3-12-01*

** CONTINUING DATA *****

THIS APPLN CLAIMS BENEFIT OF 60/113,561 12/23/1998
 WHICH CLAIMS BENEFIT OF 60/113,643 12/23/1998

** FOREIGN APPLICATIONS *****

RECEIVED

SEP 08 2000

OFFICE OF PETITIONS

IF REQUIRED, FOREIGN FILING LICENSE
GRANTED ** 04/06/2000

Foreign Priority claimed	<input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY NY	SHEETS DRAWING 5	TOTAL CLAIMS 63	INDEPENDENT CLAIMS 2
35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature _____ Initials _____				

ADDRESS

2352

TITLE

System and method for integrating trading operations including the generation, processing and tracking of and trade documents

FILING FEE RECEIVED 1594	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
-----------------------------	---	---

FILE COPY



Receipt

P/2167-158

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Albert Kwang-Hwa Sun, et al.

Date: August 21, 2000

Serial No.: 09/495,393

Group Art Unit: Unassigned

Filed: January 21, 2000

For: SYSTEM AND METHOD FOR INTEGRATING TRADING
OPERATIONS INCLUDING THE GENERATION, PROCESSING AND
TRACKING OF AND TRADE DOCUMENTS

Asst. Commissioner of Patents

and Trademarks

Washington, D.C. 20231

RECEIVED
SEP - 6 2000
TECH CENTER 2700

RECEIVED
SEP 08 2000

OFFICE OF PETITIONS
REQUEST FOR A CORRECTED FILING RECEIPT

Sir:

Please issue a corrected filing receipt for the above application. The original filing receipt includes the following error(s):

The inventorship is incorrect.

Please note that one of the inventor's residence is omitted. The inventors' addresses are as follows:

**Man Pui Tsim
Ko Fung Court, Hong Kong**

It is requested that the U.S. Patent and Trademark Office issue a corrected filing receipt at the earliest possible date.

A corrected filing receipt is required as a result of an error made by the PTO.

A corrected filing receipt is required as a result of the applicant's error. A check in the amount of \$25.00 to cover the required fee is enclosed.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed, or if any additional fee during the prosecution of this case is not paid, the Patent and Trademark Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

Respectfully submitted,



Michael J. Scheer

Registration No.: 34,425
OSTROLENK, FABER, GERB & SOFFEN, LLP
1180 Avenue of the Americas
New York, New York 10036-8403
Telephone: (212) 382-0700

FILING RECEIPT



OC000000005034500
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/495,393	01/31/2000	2768	1464	P/2167-158	5	63	2

2352
 OSTROLENK FABER GERB & SOFFEN
 1180 AVENUE OF THE AMERICAS
 NEW YORK, NY 100368403

Date Mailed: 04/06/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Albert Kwang-Hwa Sun, Brooklyn, NY ;
 Tak Ming Chan, Kwun Tong, HONG KONG;
 Jacqueline Layer, Dorset, UNITED KINGDOM;
 Nicole Gabrielle Rodriguez Toulis, New York, NY ;
 Stephen Pan Cheung, Tsuen Wan, HONG KONG;
 Patrick Shu Pui Ko, Happy Valley, HONG KONG;
 Sammy Shun Yuen Fung, Kowloon, HONG KONG;
 Thomas William Halpin, Irvington, NY ;
 Yoke Bee Yap, New York, NY ;
 Zeno Fook Chuen Chow, Yuen Long, N.T., HONG KONG;
 Kelvin Yatsun Leung, Pelham, NY ;
 Kwok Keung Yeung, Shatin, HONG KONG;
 Man Pui Tsim, ?, HONG KONG;

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/113,561 12/23/1998
 WHICH CLAIMS BENEFIT OF 60/113,643 12/23/1998

Foreign Applications

If Required, Foreign Filing License Granted 04/06/2000

**

Title

RECEIVED
 SEP - 6 2000
 TECH CENTER 2700

System and method for integrating trading operations including the generation, processing and tracking of and trade documents

Preliminary Class

705

RECEIVED

SEP 06 2000

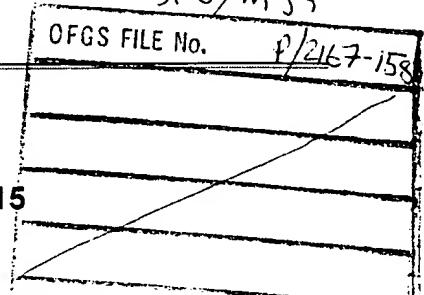
Data entry by : MAY, MOLIKI

Team : OIPE

Date: 04/06/2000 Group 2700



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**



GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

UNITED STATES OF AMERICA

COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

ORGS FWD

P/2167

As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name, and that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the invention which is claimed and for which a patent is sought on the invention entitled:

SYSTEM AND METHOD FOR INTEGRATING TRADING OPERATIONS INCLUDING GENERATION, PROCESSING AND TRACKING OF AND TRADE ACCOUNT

The specification of which is attached hereto, unless the following box is checked:

was filed on February 3, 2000 as United States patent Application Number or PCT International application number 09/495,393 and was amended on _____ (if any).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate or provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date of the application on which priority is claimed:

Prior Foreign or Provisional Application(s)

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY UNDER 35 U.S.C. § 119
United States	60/113,561	23/12/98	YES <input checked="" type="checkbox"/>
United States	60/113,643	23/12/98	YES <input checked="" type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119 of any United States application(s) listed below and, insofar as the system of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

UNITED STATES APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned, etc.)

I hereby appoint customer no. 2352 OSTROLENK, FABER, GERB & SOFFEN, LLP, and the members of the firm, Samuel H. Weimer - Reg. No. 81,510; Jerome M. Berliner - Reg. No. 18,633; Robert C. Faber - Reg. No. 24,322; Edward A. Meilman - Reg. No. 24,735; Stanley H. Gitterman - Reg. No. 22,400; Steven I. Weisburd - Reg. No. 27,409; Max Moskowitz - Reg. No. 30,576; Stephen A. Soffen - Reg. No. 31,063; James A. Fader - Reg. No. 30,773; William O. Gray, III - Reg. No. 30,944; Louis C. Dujmich - Reg. No. 30,625 and Douglas A. Mira - Reg. No. 31,643, as attorneys of record for the substitution and revocation to prosecute this application, to conduct all business in the Patent & Trademark Office connected therewith and to receive correspondence.

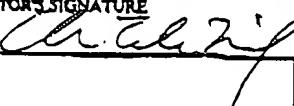
SEND CORRESPONDENCE TO: **OSTROLENK, FABER, GERB & SOFFEN, LLP** DIRECT TELEPHONE CALLS TO: **1180 AVENUE OF THE AMERICAS
NEW YORK, NEW YORK 10016 8403
(212) 382-0700
CUSTOMER NO. 2352**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are also true; and further that these statements were made with the knowledge that willful false statements and the like are made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the value of this application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR Albert Kwang-Hwa SUN	INVENTOR'S SIGNATURE 	DATE 5/17/00
--	---	------------------------

RESIDENCE (City and either State or Foreign Country) Brooklyn, New York	COUNTRY OF CITIZENSHIP United States
---	--

POST OFFICE ADDRESS 322 13th Street, Brooklyn, New York 11215
--

FULL NAME OF SECOND JOINT INVENTOR (IF ANY) Tak Ming CHAN	INVENTOR'S SIGNATURE 	DATE 5/20/00
---	--	------------------------

RESIDENCE (City and either State or Foreign Country) Kwun Tong, Hong Kong	COUNTRY OF CITIZENSHIP British
---	--

POST OFFICE ADDRESS 50 Block 10, Laguna City, Kwun Tong, Hong Kong
--

FULL NAME OF THIRD JOINT INVENTOR (IF ANY) Jacqueline LAYER	INVENTOR'S SIGNATURE	DATE
---	----------------------	------

RESIDENCE (City and either State or Foreign Country) Dorset, United Kingdom	COUNTRY OF CITIZENSHIP United Kingdom
---	---

POST OFFICE ADDRESS Heddle House, Iwerne Minster, Blanford, Dorset United Kingdom

CONTINUED ON PAGE 2

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

NO. 351 - P.
AFGS FILI N1
8/31/67-34

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are true and further that these statements were made with the knowledge that willful false statements and the like are illegal and punishable by law, imprisonment, or both, under Section 1011 of Title 18 of the United States Code and that such willful false statements are hereby denied.

FULL NAME OF FOURTH JOINT INVENTOR, IF ANY Nicole Gabrielle Rodriguez TOULIS		INVENTOR'S SIGNATURE 	DATE 5/10/10
RESIDENCE (City and State or Province Country) New York, NY		COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS 270 E 14th Avenue			

1414 FIRST AVENUE, Apt. 7C, New York 10009		
NAME OF FIFTH JOINT INVENTOR, IF ANY Stephen Pan CHEUNG		INVENTOR'S SIGNATURE <i>S. Pan Cheung</i>
RESIDENCE, City and either State or Foreign Country Tsuen Wan, Hong Kong		DATE 5/22/2023
POST OFFICE ADDRESS Elmwood 1-2426		COUNTRY OF CITIZENSHIP Hong Kong, China

NAME, I.E. Tower 3, Discovery Park, Tuen Wan, Hong Kong	
FULL NAME OF BIRTH JOINT INVENTOR, IF ANY Patrick Shu Pui KO	INVENTOR'S SIGNATURE Ko Shu /
RESIDENCE (City and either State or Foreign Country) Shan Kwong Road, Happy Valley	DATE 1/22/2000
POST OFFICE ADDRESS 2/F, TIC, P. O. B. 1111	COUNTRY OF CITIZENSHIP Hong Kong, China

24 Shan Kwun Road, Happy Valley, Hong Kong		
FULL NAME OF SEVENTH JOINT INVENTOR, IF ANY		
Sammy Shua Yuen FUNG	INVENTOR'S SIGNATURE	DATE
RESIDENCE (City and State or Foreign Country)	5/20/2000	
Kowloon, Hong Kong	COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS	Canada	
563 P. 11		

51-5997 5-12-1951 5-12-1951	
Full Name of Eighth Joint Inventor, if any Thomas William HALPIN	
Inventor's Signature	
Date	
Residence (City and other State or Foreign Country) Irrigation, New York	
Country of Citizenship United States	
Post Office Address Mountain View, Calif.	

CONTINUED ON BACK

15:39:58 15.06.1991 15:39:58 15.06.1991

(गृही) ३. १९. ६० १५:३९ स.त. १५:३५:८८४३-४४८८०१:८१४८

UNITED STATES OF AMERICA

COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

OPGS FILE NO.
P/2167-158

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, that I verify that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SYSTEM AND METHOD FOR INTEGRATING TRADING OPERATIONS INCLUDING THE GENERATION, PROCESSING AND TRACKING OF AND TRADE ACCOUNT

the specification of which is attached hereto, unless the following box is checked:

was filed on February 3, 2000 as United States patent Application Number or PCT International patent application number 09/495,393 and was amended on _____ (if any).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate or United States provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign or Provisional Application(s)

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. 119
United States	60/113,561	23/12/98	YES <input checked="" type="checkbox"/> NO _____
United States	60/113,643	23/12/98	YES <input checked="" type="checkbox"/> NO _____

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

UNITED STATES APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned)

I hereby appoint customer no. 2352 OSTROLENK, FABER, GERB & SOFFEN, LLP, and the members of the firm, Samuel H. Weiner - Reg. No. 18,510; Jerome M. Berliner - Reg. No. 18,653; Robert C. Faber - Reg. No. 24,322; Edward A. Meilman - Reg. No. 24,735; Stanley H. Lieberstein - Reg. No. 22,400; Steven I. Weisburd - Reg. No. 27,409; Max Moskowitz - Reg. No. 30,576; Stephen A. Soffen - Reg. No. 31,063; James A. Finder - Reg. No. 30,173; William O. Gray, III - Reg. No. 30,944; Louis C. Dujinich - Reg. No. 30,625 and Douglas A. Muro - Reg. No. 31,643, as attorneys with full power of substitution and revocation to prosecute this application, to transact all business in the Patent & Trademark Office connected therewith and to receive all correspondence.

SEND CORRESPONDENCE TO: **OSTROLENK, FABER, GERB & SOFFEN, LLP** DIRECT TELEPHONE CALLS TO:
1180 AVENUE OF THE AMERICAS (212) 382-0700
NEW YORK, NEW YORK 10036-8403
CUSTOMER NO. 2352

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLICITOR/INVENTOR	INVENTOR'S SIGNATURE	DATE
Albert Kwang-Hwa SUN		5/17/00

RESIDENCE (City and either State or Foreign Country)	COUNTRY OF CITIZENSHIP
Brooklyn, New York	United States

POST OFFICE ADDRESS
322 13 th Street, Brooklyn, New York 11215

FULL NAME OF SECOND JOINT INVENTOR (IF ANY)	INVENTOR'S SIGNATURE	DATE
Tak Ming CHAN		

RESIDENCE (City and either State or Foreign Country)	COUNTRY OF CITIZENSHIP
Kwun Tong, Hong Kong	British

POST OFFICE ADDRESS
SC Block 10, Laguna City, Kwun Tong, Hong Kong

FULL NAME OF THIRD JOINT INVENTOR (IF ANY)	INVENTOR'S SIGNATURE	DATE
Jacqueline LAYER		22/5/00

RESIDENCE (City and either State or Foreign Country)	COUNTRY OF CITIZENSHIP
Dorset, United Kingdom	United Kingdom

POST OFFICE ADDRESS
Heddle House, Iwerne Minster, Blanford, Dorset United Kingdom

CONTINUED ON PAGE 2